



FORMAL REPORTING PROCEDURES

Navy Personnel Command (PERS-00H)

November 28, 2001

Sessions B & D

Definitions



Conflict: disagreement between two or more people that raises concerns and requires resolution

Grievance: suffering, distress; a cause of distress (as an unsatisfactory working condition) felt to afford reason for complaint or resistance.

Complaint: expression of grief, pain or dissatisfaction; something that is the cause or subject of protest or outcry; a formal allegation against a party; the expression of a grievance.

Redress: to set right (remedy); to make up for (compensate); to remove the cause of (complaint or grievance); relief from distress; compensation for wrong or loss.

Resolution: the act or process of reducing to a simpler form; the act of analyzing a complex notion into simpler


Informal Complaint Resolution



The Informal Resolution System is preferred for handling any complaint/issue grievance at the lowest level...

The Navy developed the Informal Resolution System (IRS) to assist Sailors in resolving conflicts. When successful, IRS is the timeliest method for resolving conflict, because it deals directly with the individuals involved and uses the immediate chain of command.

Formal Redress



Sometimes IRS is ineffective or simply not a desirable method for resolution. In these cases, the Sailor should file a formal complaint. A command may receive a formal complaint by any of the following means:

- NAVPERS 5354/2, EO/SH Complaint Form**
- UCMJ Article 138, Wrongs Committed by a CO**
- NAVREGS Article 1150, Wrongs Committed by a Superior Other than the CO**
- NAVPERS 1626/7, Report and Disposition of Offenses**
- Communication to Chain of Command/IG/Elected Official**

Equal Opportunity/Sexual Harassment Formal Complaint Procedures



- **Within 24 hours**
 - **Personnel in the chain of command receiving a formal complaint must submit complaint to the Commander or Commanding Officer.**
 - **Commander/Commanding Officer must:**
 - » **Initiate an investigation**
 - » **Identify available counseling support**
 - » **Assign advocates to complainants, alleged offender(s), and witnesses**

EO/SH SITREP Procedures



- **Within 72 hours after receipt of formal complaint, send initial Situation Report (SITREP).**

Send to first flag officer within the COC that has General Courts-Martial Authority. Also, ISIC, CNO (00E), and PERS-00H are required info addressees.

EO/SH SITREP

Procedures *(Cont.)*




- **Twenty days after the date the investigation commenced:**
 - **Send a closeout SITREP describing the outcome of the investigation - including any disciplinary action taken and punishment awarded - to all original addressees and infoees, OR**
 - **If the investigation is not complete within 20 days, send a SITREP describing the progress made in completing the investigation and the reasons for any delays**
- **THEN, send follow-on SITREP every 14 days until final (closeout) SITREP**

Additional Guidelines



- **The complainant must be notified that complaint has been resolved and informed of his/her right to request a review by next higher authority**
- **Command must conduct a follow-up debrief 30-45 days after final action to evaluate effectiveness of corrective action and ensure reprisal did not occur**

Other Reporting Criteria

- 
- **A grievance against a member in another chain of command may be submitted through the complainant's Commanding Officer. The complaint will then be forwarded to the appropriate command for action. INCIDENTS WILL BE REPORTED BY THE COMMAND TO WHICH THE ACCUSED PERSON IS PERMANENTLY ASSIGNED.**

Other Reporting Criteria *cont.*



- **Grievances against members in a temporary duty status will be reported by the command to which they are permanently assigned.**
- **Grievances against members in a transient status will be reported by the command that processes the formal case.**

SITREP Format and Common Errors



A. COMMAND DATA

- (1) LOCAL INCIDENT NUMBER: *[UIC-FY-INCIDENT NO-SEQ NO]* (EX. 69059-99-**003-001** IS THE FIRST MESSAGE ON THE THIRD INCIDENT IN THIS COMMAND FOR FY99)
- (2) DATE TIME GROUP (DTG) OF PREVIOUS MESSAGE(S)
 - (A) INITIAL MESSAGE
 - (B) CONTINUATION MESSAGE 1**
 - (C) CONTINUATION MESSAGE 2, ETC**
 - (D) CLOSE-OUT**
- (3) COMMAND SUBMITTING REPORT: *[NAME OF COMMAND HANDLING COMPLAINT]*
- (4) PERMANENT COMMAND TO WHICH COMPLAINANT IS ASSIGNED: *[NAME OF COMMAND OR SAME AS ABOVE]*
- (5) ECHELON II COMMAND: *[NAME OF ECHELON II COMMAND OF REPORTING COMMAND]*
- (6) POC/PHONE: *[NAME AND NUMBER IF NOT SAME AS THAT LISTED IN MESSAGE HEADER]*
- (7) TYPE OF REPORT: *[INITIAL, CONTINUATION, CLOSE-OUT]*
- (8) DATE COMPLAINT SUBMITTED TO CHAIN OF COMMAND BY COMPLAINANT: *[DDMMYY]* (Ex. 01FEB99)
- (9) TYPE OF INCIDENT: *[SEXUAL HARASSMENT OR DISCRIMINATION]*
- (10) METHOD USED TO SUBMIT COMPLAINT: *[NAVPERS FORM 5354/2, NAVPERS FORM 1636/7, UCMJ ARTICLE 138, NAVREGS ARTICLE 1150, NAVY INSPECTOR GENERAL (IG), DOD IG, CONGRESSIONAL INQUIRY, NCIS REPORT, OTHER]*

SITREP Format and Common Errors *cont.*



B. COMPLAINANT DATA

- (1) GENDER: [*M or F*]
- (2) PAYGRADE: [*Paygrade*] (*Ex. O-3*)
- (3) AFFILIATION: [*USN, USMC, USA, USAF, USCG, CIVILIAN*]
- (4) DUTY STATUS: [*ACTIVE OR RESERVE*]
- (5) RACE: [*WHITE NON-HISPANIC, BLACK NON-HISPANIC, HISPANIC, AMERICAN INDIAN/NATIVE ALASKAN, ASIAN AMERICAN/PACIFIC ISLANDER, OTHER*]
- (6) ALCOHOL USE SUSPECTED: [*YES OR NO*]

SITREP Format and Common Errors *cont.*



C. ALLEGED OFFENDER(S) DATA

(1) GENDER: [*M or F*]

(2) PAYGRADE: [*Paygrade*] (Ex. O-3)

(3) AFFILIATION: [*USN, USMC, USA, USAF, USCG, CIVILIAN*]

(4) DUTY STATUS: [*ACTIVE OR RESERVE*]

(5) RACE: [*WHITE NON-HISPANIC, BLACK NON-HISPANIC, HISPANIC, AMERICAN INDIAN/NATIVE ALASKAN, ASIAN AMERICAN/PACIFIC ISLANDER, OTHER*]

(6) ALCOHOL USE SUSPECTED: [*YES OR NO*]

(7) RELATIONSHIP TO COMPLAINANT: [*CO, SUPERVISOR, SUBORDINATE, PEER, OTHER*]

SITREP Format and Common Errors *cont.*



D. INCIDENT DESCRIPTION

(1) DATE OF INCIDENT:

[*DDMMYY*]

(2) INCIDENT LOCATION:

**[*ABOARD SHIP AT SEA,
ABOARD SHIP IN PORT, ON
BASE, CONUS, OFF BASE
CONUS, OVERSEAS ON BASE,
OVERSEAS OFF BASE, OTHER*]**

SITREP Format and Common Errors *cont.*



E. INVESTIGATION DETAILS

(1) DATE INVESTIGATION COMMENCED:

[DDMMYY]

(2) DATE INVESTIGATION COMPLETED:

[DDMMYY]

**(3) OUTCOME: [SUBSTANTIATED OR
UNSUBSTANTIATED]**

**(4) TIMELINES MET: [YES OR NO] (*Note:
If not, state reason why.*)**

(5) CORRECTIVE ACTION

**TAKEN/PUNISHMENT AWARDED: [NJP,
COURTS-MARTIAL, FORMAL LETTER OF
REPRIMAND, PG 13 ENTRY, REDUCTION
IN RANK, ADMINISTRATIVE SEPARATION,
ETC.]**

SITREP Format and Common Errors *cont.*



2. MISCELLANEOUS
REMARKS. [*Provide
summary of reported
incident. Also, explain any
items marked as "other"
that were not addressed
above.*]

Hazing Report via OPREP



Current SECNAV instruction
requires an OPREP 3 Navy Blue
be released for SUBSTANTIATED
cases...

SITREP STATUS

1st - 4th Qtrs



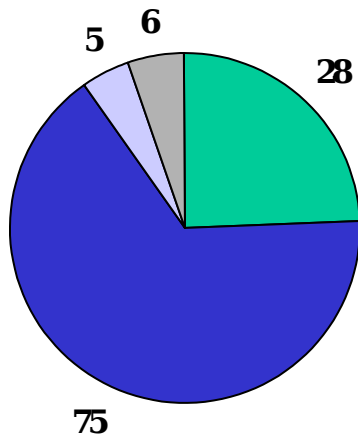
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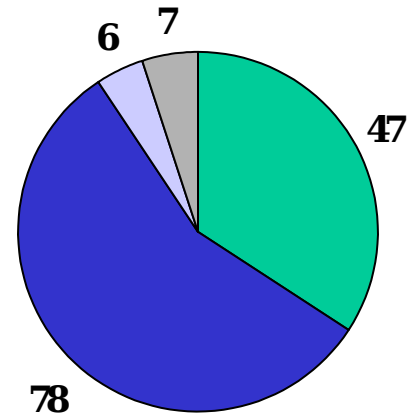
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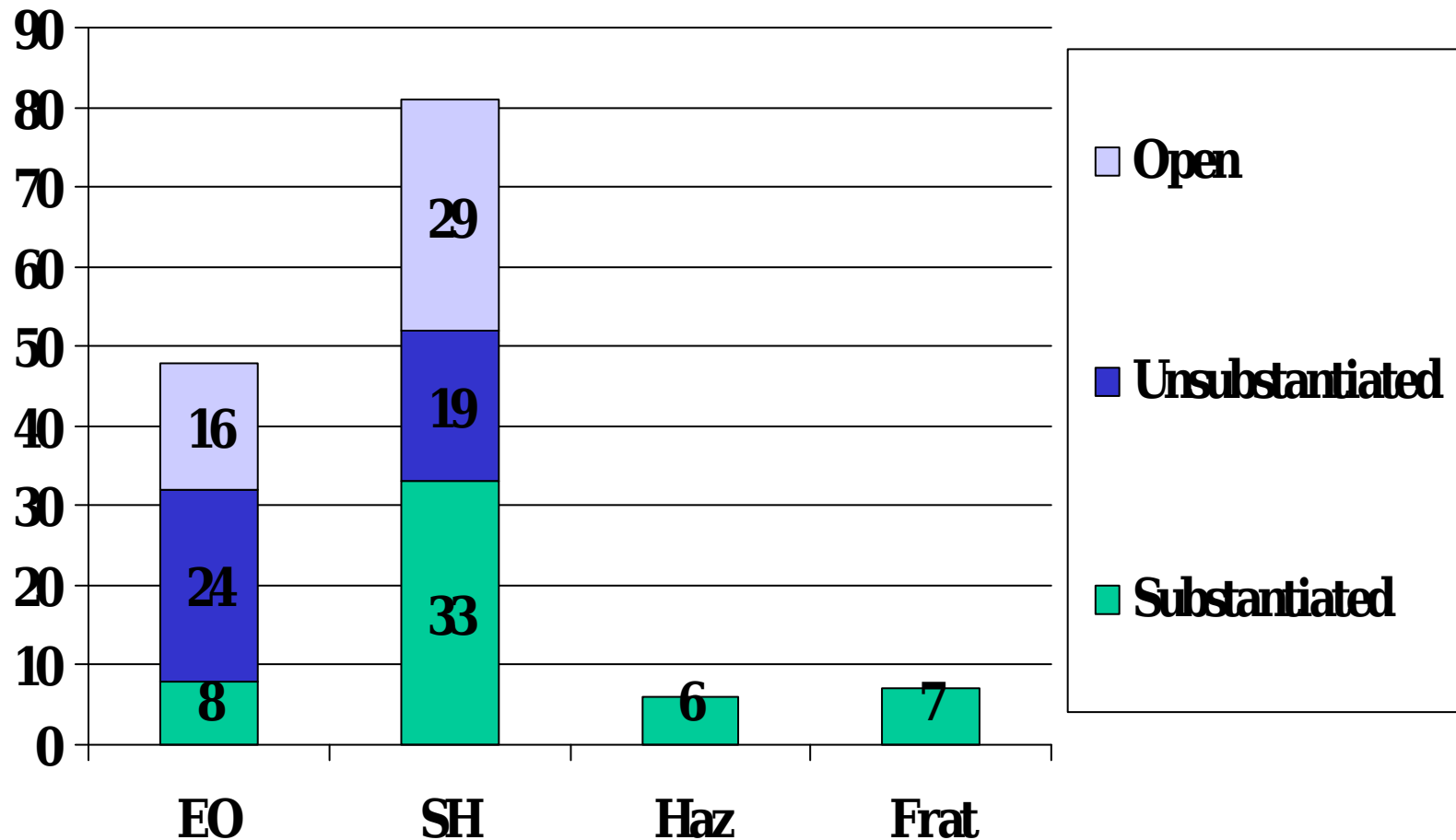


FY-01



EO/SH SITREP

Status FY01 YTD




Why Report?



First, leaders must make the call to report

- Resolve the issue
- Take care of our people
- Good for command - must change mentality
 - reduce attrition, increase retention
 - command morale and productivity increase
- Metrics
 - track trends
 - ultimately advise on policy changes

Issues

- 
- Accurate metrics
 - » Better SITREP data and tracking
 - » Annual EO Health of the Navy input from EOAs, Navy IG, and OJAG
 - Overcoming the categorization of incidents as something other than EO/SH/Frat/Haz (when they are)
 - Military and civilian
 - Joint reporting

Questions?

